

Local Education Authority Adult Learning Plans 2002/03 – Final Guidance



Contents

Paragraph

Foreword

Contents

Section

Introduction and Background	1
Timetable and Approval and Allocations Process	2
Funding Application	3
Guidance on completing the form and application	3a
LEA Approval Form	3b
Funding Application	3c
Forward Planning	4
Guidance on completing the forms	4a
Learner Numbers Form 16-18	4b
Learner Numbers Form 19+	4c
Withdrawal of Provision Form	4d
Adult Learning Plan	5
Adult Learning Plan Content	5a
Adult Learning Plan: Guidance on Contents	5b
Capital	6
Preparation for Future Funding Arrangements	7
Annex A The Legal Framework and the Secretary of State's Guarantee	
Annex B Staffing – Category of Work	
Annex C Post 16 Publications and Consultation Documents	

Further information

For further information, please contact the appropriate Learning and Skills Council local office, or write to:

Adult Learning Team
The Learning and Skills Council
101 Lockhurst Lane
Coventry CV6 5SF

Foreword

The Council recognises and values highly the unique contribution adult and community learning makes to the engagement of a wide variety of adult learners in education and training. We recognise the importance of this kind of learning to individuals, to communities and as a way back into education and training for those who are reluctant to engage with the formal system. We are firmly committed to high quality provision in this area.

In his letter to Local Education Authorities (LEAs) on 22 December 1999 the Secretary of State guaranteed that until the end of 2002/03 the Learning and Skills Council will give each local authority a level of funding comparable to net expenditure in 1998/99 on adult education under the ESS, providing contracting conditions remain the same. The guarantee was conditional upon LEAs maintaining expenditure at the same level in the financial year 2000/01 as in 1999/2000, and on LEAs producing and implementing satisfactory adult learning plans.

Whilst the Secretary of State has not extended the guarantee of funding beyond 2002/03, both the Department for Education and Skills (DfES) and the Council see continuing LEA involvement in Adult and Community Learning as vital. This is not simply as managers of local contracts, but as local strategic partners with in-depth local knowledge of their communities and experience of meeting the needs of local people.

Our current planning assumptions assume a real term increase in funding for the ACL sector in 2002/03 as provided for by the Secretary of State's guarantee. Our plans provide for an uplift that is at least comparable to that made available in 2001/02. It is expected that some additional resource will be available, to be used to prepare for the move to a common funding approach but will also be targeted at widening and increasing participation. The Council will offer further advice on how any additional resource is to be distributed in due course.

Many local authorities operated as 'External Institutions' [within the definition in the *Further and Higher Education Act 1992*]. Although sponsorship through an FE Sector College no longer applies, funding has continued to be allocated to the former external institution. This will continue in 2002/03 which means that LEAs will continue to receive money from the Council through two funding streams and will have to report separately for each funding stream. Where a local authority is also a work based learning provider, this will also be a separate funding stream. By 2003, we hope to be able to ask for planning data for all local authority secured provision as a whole, recognising the commonalities between types of provision made which meets local needs. The Council wants to ensure a smooth transition to formula funding. It wants to retain the support of LEAs as the implications of formula funding emerge to ensure that the sector is not disadvantaged by funding changes.

Adult and Community Learning is an area where close working with local people is particularly important and where there is a clear need for approaches to be tailored to the area where provision takes place. We want to work with LEAs to help identify provision and plan provision that is appropriate to the needs of the local area.

The Council is very grateful to colleagues in the DfES for their contribution to the preparatory work for the transition to the Council of responsibility for this area of work.

Summary

This document provides advice on the contents of each local education authority's Adult Learning Plan for the year 1 August 2002 to 31 July 2003.

The Plan is the key document by which LEAs secure funding from the Council. LEAs have a guarantee from the former Secretary of State that until the end of the academic year 2002/03 the Learning and Skills Council will give each local authority a level of funding comparable to net expenditure in 1998/99 on adult education, providing contracting conditions remain the same. The guarantee was conditional upon LEAs maintaining expenditure at the same level in the financial year 2000/01 as in 1999/2000, and on LEAs producing and implementing satisfactory Adult Learning Plans.

The planning and funding process for 2002/03 falls into two parts. The first involves the submission of data on learner numbers and an initial application for funding. This information should be sent to the local LSC by 14 December 2001.

The full Adult Learning Plan will be required by the local LSC by 28 March 2002. Local LSCs will be responsible for the approval of Adult Learning Plans for their area.

1 Introduction and Background

1.1 The Learning and Skills Council (the Council) took on responsibility for funding local authority secured adult and community learning from April 2001. It channels funding for such activity through LEAs.

1.2 When the Council takes on responsibility for school sixth forms in April 2002 it will have responsibilities in respect of all post-16 education and training in England, other than higher education and some aspects of adult work-based learning. This provides us with the opportunity to bring about coherence, transparency and better planning in which the priority is the creation of coherent funding and planning arrangements in post-16 provision.

1.3 The Secretary of State's guarantee letter of December 1999 indicated that LEAs would have the opportunity to bid for any further funding that becomes available. An uplift element at least comparable to that available in 2001/02 will be provided. As soon as further information about any extra funds becomes available, we will be in touch. Where they have the scope to do so local authorities or LEAs will continue to be able to bid for resources or otherwise link into national initiatives.

1.4 The *Learning And Skills Act 2000* gave the Council, local authorities and LEAs a role in vocational and non-vocational education, training and connected leisure time occupation. For its part, the Council will consult LEAs on its plans and agree what it wishes to purchase and the appropriate level of funding with each LEA. Annex A provides further information about the legal framework.

Adult and Community Learning with the Learning and Skills Council

1.5 The Council recognises the very important contribution adult and community learning makes to the delivery of its priorities and local authorities are identified in our Corporate Plan as one of the key partners who can help us achieve our aims.

1.6 The remit from the Secretary of State to the Council encourages wider participation in learning, not only for the fulfilment of economic goals, but also to build strong cohesive communities and to engage in learning for personal development.

1.7 Learning secured by local authorities has been identified as having a role not only in providing a stepping stone to other kinds of education and training but also in providing opportunities for learning for its own sake.

Future Funding Arrangements

1.8 A common funding approach for all sectors is being developed. The aim is that by 2004/05 each sector will be funded on broadly the same principles. The Guarantee has meant that local authority adult and community learning providers are able to plan ahead with confidence. The Council is keen to ensure that providers continue to enjoy stability as they move to the new funding arrangements.

1.9 During 2002/03 work will be required of local authorities to enable the transfer to the new funding system to take place smoothly. Modelling work will be required and data will have to be collected. There will be consultation on the development of the new systems on an ongoing basis.

1.10 Providers will wish to familiarise themselves with Circular 01/13, *Post-16 Funding Arrangements for 2002/03* which sets out the arrangements for the new common funding approach. This and other reference documents are set out in Annex C.

Forward Planning with the Learning and Skills Council

1.11 The Council is in the process of developing forward planning processes that will be used by all providers as part of working towards coherence in post 16 education and training. The guidance on Adult Learning Plans reflects progress in this area. The data collection forms for learner numbers are being piloted in the local authority adult and community learning sector and following consultation and advice from this, the forms will be revised for use more widely from 2003. The text required in this year's Plan also reflects likely future requirements.

1.12 Some authorities will find completion of this information challenging but we would urge you to provide the best possible information and to indicate at the earliest opportunity where you have particular problems in providing the data and information requested. The local LSC will be prepared to assist.

National Priorities in 2002/03

1.13 The important role local authorities have in providing adult education for the personal development of those living within their areas is fully recognised. However, in developing provision the following government priorities are significant as they are associated with specific targets and specific funding initiatives:-

- The need to improve basic skills
- The need to widen participation in learning to those who do not traditionally participate in education and training
- The need to enhance family learning provision
- The need to support strategies for neighbourhood renewal.

Working with LEAs

1.14 The Council will consult local authorities on the development of local strategic plans. Local authorities will work with local LSCs to ensure that there is a good fit with Community Plans and other strategies that promote the well being of the communities they serve.

1.15 Local LSCs will seek to build strong relationships to assist in the development and delivery of these strategies.

Working with Adult and Community Learning Providers

1.16 The Council will wish to draw on the expertise and experience of those working in the adult and community learning sector as we develop operational practices to support future provision. We will aim to do so through involving appropriate adult and community learning representatives at a national and local level.

1.17 An individual adult and community learning provider that wishes to make contact with the Council should do so via its local LSC. Given that funding for local authority adult and community learning comes through the LEA we expect that the LEA should be the first point of contact for individual providers who hold LEA contracts for provision

Working with Local LSCs on Adult Learning Plans for 2002/03

1.18 Adult Learning Plans for the current year were drawn up under guidance issued by the DfES. Although local LSCs approved the 2001/02 plans, we now wish to be more closely involved in discussions about Plans as these are developed for 2002/03 especially as Plans will be drawn up while local LSCs are working on their own local Strategic Plans. Adult and Community Learning is regarded as an important sector by the Council with an important role to play in maintaining and

widening participation. All local LSCs see the importance of a strong focus on adult and community learning capacity in their overall plans for their area.

1.19 The planning and funding process for 2002/03 falls into two parts. The first involves the submission of data on learner numbers and an application for funding. This information and the initial application for funding should be sent to the local LSC by 14 December 2001.

1.20 Those responsible for local authority Plans will need to meet at least once with their local LSC to discuss the proposals to be made for funding and learner numbers. Early discussions with local LSCs will aid the provision of a provisional funding allocation in February 2002.

1.21 We expect discussions and decisions on finalising Plans will also contribute to the drawing up of the local LSC Strategic Plan. The second stage of the funding and planning process is that the full Adult Learning Plan will be required by the local LSC by 28 March 2002. Local LSCs will be responsible for the approval of Adult Learning Plans for their area. There will be national moderation of Plans and applications for funding before allocations are confirmed in June 2002.

2 Timetable and Approval and Allocations Process

Introduction

2.1 The plans for 2002/03 are the first opportunity for planning to be carried out in conjunction with local LSCs. It is hoped that every opportunity will be taken for plans to be drawn up through a process of joint working and discussion of local and national priorities.

The submission of planning information to local LSCs is a two stage process.

First Submission – 14 December 2001

2.2 This submission will involve local authorities sending to their local LSCs the following parts of their Plan

- Local Authority Approval form and Indicative Funding Bid
This will include indicative bids for funding for MIS/infrastructure and funding for family learning
- Common Forward Planning Forms (Learner Numbers and Withdrawal of Provision/Location Forms)
- Accommodation Strategy and outline proposals (if any) for major capital schemes.

Provisional Allocations

2.3 Local LSCs will finalise provisional allocations in February 2002.

Second Submission – The Adult Learning Plan

2.4 This should be submitted to Local LSCs by 28 March 2002. It will include all the matters referred to in the Planning Guidance.

Approval Process

2.5 Plans will be assessed and approved by local LSCs and there will be arrangements for national moderation to ensure consistency of approach.

2.6 The local LSC will be developing its own Strategic Plan at the same time as local authority planning processes are taking place. It will be important that local authority Plans contribute to what the local LSC is seeking to achieve through its strategic plan.

2.7 The following is based on draft guidance on Assessment of local LSC Strategic Plans and may help local authorities in evaluating whether their plan will be seen as contributing to the Local LSC Strategic Plan and may help in preparation of a plan likely to meet with approval.

- The Adult Learning Plan's priorities and challenges are consistent with the National and Local Councils' vision, mission, key objectives and targets
- The Plan shows a commitment to improve participation, quality and attainment for the full range of learners
- The Plan's priorities and challenges are derived from a sound analysis of the needs of local learners and employers
- The Plan focuses on ensuring and driving up quality, based on a sound analysis of the current position
- The Plan builds on the specialist strengths the authority holds in responding to the needs of learners
- The authority has the means to bring about the changes and improvements sought
- The proposed targets are within an acceptable bandwidth and the activities are sufficient to support the attainment of the targets
- The Plan pays proper regard to the Council's statutory duties including health and safety equality and diversity and for provision for learners with learning difficulties and disabilities
- The Plan pays due regard to basic skills, family learning and widening participation
- Proposals have the support of partners, where appropriate
- The Plan has been subject to proper local consultation

Additional Guidance requests that

- Objectives be SMART and evaluation measures explicit and measurable
- The Authority has rigorous systems for monitoring and evaluating the plan and assessing its impact

Timetable and Approval and Allocations Process

- The Plan links to any supporting strategies for example the local authority's own policies on equality and learning funded from other sources
- The Plan will directly inform and shape the operational plans for the securing of adult learning by the authority.

Final Allocations

2.8 Final allocations will be confirmed by Local LSCs from March 2002.

Funding Agreements

2.9 Funding Agreements will be finalised between May and July 2002.

3 Funding Application

3A Guidance for LEAs on Completing the Approval Form and Application for Funding

Page 1 LEA Approval of application

3.1 Funding approved on the basis of this application will be the subject of a funding agreement between the Council and the LEA. You must confirm that the LEA has approved your application. It is for individual authorities to determine how such approval should be obtained.

Page 2 Application for Funding

3.2 Please complete the Application for Funding noting the guidance set out here on each of the lines in the table.

Line 1

Council Secured Provision (covered by the Secretary of State's Guarantee)

3.3 In the first two columns you should enter the amount you have been allocated by the Council for the period stated. This will be the amount notified to you in Autumn 2000 by the then DfEE for both the four month period and the full academic year.

3.4 In the third column you should enter the amount you are bidding for in 2002/03. If you have complied with the terms of the guarantee this will not be less than you received in the 2001/02 academic year. You will need to note that the government portion of the Standards Fund money you received in 2001/02 has been "rolled up" in the Council budget and is part of the Guarantee. This does not include any internal contribution your authority made to "match" the Standards Fund. If you received such money for 2001/02 it is a matter for your authority to determine whether they will continue to make this contribution. They have the power to do so if they wish.

3.5 Details of any "match" funds should **not** be included in the figures on this form.

Line 2

Council Funded Activities supported by the DfES Standards Fund Grant

3.6 Enter the amount you have been allocated for Standards Fund Activities in both the four month and the twelve month periods indicated. These amounts were indicated to you by the then DfEE in Autumn 2000.

3.7 In column three you will not be able to enter this amount as Standards Fund funding ceases in 2001. However the funding for this activity has been included in Council budgets. You should include the amount you would have received for the activities funded under the standards fund in the amount you apply for in column three of line 1 as indicated above.

Provision to be secured by additional funds

3.8 As stated in the introduction to this guidance, additional funding will be available to support adult and community learning in 2002/03.

3.9 Details of information needed to bid for this funding is contained in the guidance notes on preparing your adult learning plan and any bid should be discussed in advance with your local LSC. Further information on capital funding is set out in section 6 of this Guidance.

Line 3

Bid for MIS Infrastructure Funds

3.10 Up to £6 million nationally will be available to support providers in preparing for the requirements of the ILR and building MIS infrastructure. Enter the amount you are bidding for here (if applicable). Please note the guidance on these amounts, that criteria will be developed in the course of the 2001/02 academic year. Any bid that you make with your Plan will be regarded as indicative and you may be invited to provide further details and/or revised costings in the light of the development of those criteria.

Line 4

Bid for Funding for Family Learning

3.11 A sum of £7 million will be available nationally to support providers in developing additional work in the area of family learning. Enter the amount you are bidding for here (if applicable).

Line 5

Total Funding

3.12 Enter the totals for lines 1 – 4

The remaining financial information does not form part of your funding application. It is for information only and to help Local LSCS understand the totality of Council Funding your Authority is receiving.

Line 6

Council secured provision of the type formerly funded by the FEFC

3.13 Funding for the period from April 2001 to March 2002 was included by the FEFC in funding agreed for the academic year August 2000 – 2001.

3.14 For April 2002 – July 2002 enter the amount allocated to you by the Council for that funding year. Please therefore enter here the figure for the four month period.

3.15 For August 2002 – July 2003 enter an estimate of the amount you will seek in that year.

Line 7

Council Work Based Learning

3.16 In column one a figure equal to one third of the funding you received for work based learning in 2000/01 should be entered.

In column two indicate the figure you expect to receive from the Council for work based learning in the 2001/02 academic year.

In column three estimate the amount you will seek for work based learning in the 2002/03 academic year.

Line 8

Anticipated fee income from Learners in ACL

3.17 Enter here the fee income you have received and expect to receive from learners **in adult and community learning provision only** based on your current fee policies. If you are making changes to your fee policies for 2002/03 this should be taken into account in your estimate for that year.

Line 9

Fee income from learners in institutions formerly known as External Institutions

3.18 Enter here the fee income you expect to receive from learners in any provision you make as an institution formerly known as an External Institution. If you are making changes to your fees policies for 2002/03 this should be taken into account in making your estimate.

Line 10

Overall Totals

3.19 Enter here the total at line 5 plus lines 6,7,8 and 9 to give an overall picture of the funding you have been allocated and will need to support the learning opportunities you are securing through Council funding and the amount you have or are likely to receive from learners.

LEA Approval of Application and Plan

Name of LEA (*in full*):

Name and Title of LEA Officer making this Application:

Contact Details (*including email*):

Name and Title of person Authorised to approve the Application and Plan:

Contact Details:

I confirm that the attached application for funding to the Learning and Skills Council and the attached proposals for provision have been approved by the LEA through:-

Endorsement by the full Council

Endorsement by the Education Committee or other appropriate LEA Committee

Authority delegated to the Chief Education Officer

(Delete as appropriate)

Signature

Date

Name (in Capitals)

Adult Learning Plans Guidance: Application for Funding 2002/03

Line Number	Funding Category	Funding Allocated April 2001 – March 2002	Funding Allocated April 2002 – July 2002	Funding Sought August 2002 – July 2003
1	LSC secured Adult and Community Learning provision (covered by the Secretary of State's Guarantee)			
2	LSC Activities supported by the DfEEs Standards Fund Grant			NOT APPLICABLE IN 2002/03 INCLUDE IN LINE 1
3	Bid for MIS Infrastructure Funds	N/A	N/A	
4	Bid for funding for family learning	N/A	N/A	
5	TOTAL APPLIED FOR IN THIS APPLICATION			

FOR INFORMATION ONLY				
6	LSC secured provision as an institution formerly known as an External Institution			
7	LSC work based learning			
8	Anticipated fee income from learners in Adult and Community Learning Provision only.			
9	Anticipated fee income from Former External Institution learners			

10	OVERALL TOTALS			
----	----------------	--	--	--

4 Forward Planning

Guidance on Completing Learner Numbers and Withdrawal of Provision Forms 2002/03

Introduction

4.1 The learner numbers and withdrawal of provision forms have been designed for use by providers in all the Council's learning sectors. Adult and Community Learning providers are piloting them in 2002/03. This means that some parts of the form contain headings that may not seem to be relevant to uncertificated local authority adult learning provision. These guidance notes are to provide clarification of the required data we expect from local authorities.

4.2 Please note we are only requesting numbers funded from your Adult and Community Learning Budget. **DO NOT include learners funded under budgets for institutions formerly referred to as External Institutions.**

4.3 Following representations from local authorities we have agreed that you are encouraged to complete learner numbers information for 2000/01, if this is too challenging for your authority or you do not have information available in this format this line may be left blank. Providers should discuss this issue with their local LSC if information is not included and agree timescales for the provision of equivalent or available information. Data can be provided electronically. Please ask your local LSC for all electronic copy of the forms.

Learner Numbers Forms

Provider Name

4.4 Please enter the name of your local authority.

Areas of Learning

4.5 Please categorise your learners using the 14 ALI categories given on the form. Learners engaged in numeracy programmes should be included in Foundation Programmes (category 14), learners engaged in literacy programmes should be included in Foundation Programmes (category 14), learners engaged in ESOL programmes should be included in Foundation Programmes (category 14) learners engaged in EFL should be included in English Language and Communications Programmes (category 13). Where a programme is only or mainly basic skills it should be entered in the foundation category. Where a programme is an integrated programme where basic skills is one element (eg ICT programmes containing an element of basic skills) enter the programme under the subject area.

4.6 Where a learner is engaged in more than one programme they should be included in the programme area where the majority of their study takes place.

Levels of Provision

4.7 It is clearly understood that a majority of learners in non-accredited learning will not easily be attributed to a particular level of study. However, it is also appreciated that much adult and community learning is not at entry level and that some programmes are at relatively advanced levels. We would hope to capture some of this range on this form. Open College Network experience may be a useful tool to determine the appropriate level of courses.

4.8 Advice on attributing learning to levels is given below. We would hope to commission work in due course on levels of work in Adult and Community Learning. In the meantime if you are in doubt about levels of work you may use the "level unspecified" line for provision. The notes on levels are offered as an indication only. If local authorities do not wish to attribute levels to their programmes or if the organisations that are contracted to deliver are not able to provide this information all courses can be entered as at unspecified levels.

Entry Level

4.9 We would expect targeted first rung provision and many beginners' classes, short introductory courses, and tasters to be included here. Courses at "pre-entry" level for example some courses for adults with learning difficulties may be included here.

Level Unspecified

4.10 We would expect a great deal of adult and community provision to be included here. Where courses are dealing with mixed ability groups, where a range of learners are involved and where no previous experience is required of learners but many learners will have taken similar courses, before we would expect provision to be included here.

Level 1

4.11 We would expect courses entered here might include some foreign language provision and courses where some experience is expected from learners. Courses where it is expected that, even if beginners, learners will have adequate communication skills and study skills to engage in the learning programme offered may be included.

Level 2

4.12 Level 2 represents study at the level of a GCSE. We might expect courses to be entered here if a majority of the learners have had previous experience in studying the subject. Some language courses, more advanced craft classes and courses aimed at learners undertaking a second or third year evening class in the subject might fall into this category.

Level 3

4.13 This level broadly equates to A-level standard. Courses included here would involve advanced study and provision designed to prepare learners for entry to higher education.

Levels 4 and 5

4.14 These levels of study represent Higher National Diploma (HND) and degree level work. Programmes that might be appropriate for inclusion might be very advanced language provision and courses that, while non-accredited, involve the acquisition of skills normally associated with study in Higher Education.

Total Learners

4.15 The sum total here should represent the total number of learners you have engaged in your provision.

The information asked for below the bold line relates to learners included in your totals.

Basic Skills

4.16 Please enter here the learners studying basic skills programmes. Where the programme is only or mainly basic skills ie 50% or more of the curriculum content enter it under Category 14 where the programme is an integrated programme of which an element is basic skills enter it in the appropriate area of learning (eg where an ICT course contains an element of basic skills).

Collaborative Community Provision

4.17 Enter here numbers of learners where delivery is made by another provider if the provision is for individual learners and not delivered by an employer. If you sub-contract work to a further education college (but not a college company), a community school or a voluntary provider you should enter learner numbers here.

Franchised Employer Provision

4.18 You will only need to enter provision here if it is delivered by an employer as part of their training programme. Do not enter here work sub-contracted to other educational providers or the voluntary sector.

These definitions are being used as an interim measure.

Ufi

4.19 Enter here learners who are studying in Ufi hubs where learning is being funded from your Adult and Community Learning budget.

Withdrawal of Provision

Introduction

4.20 The purpose of this form is to help local LSCs to map and understand the provision for which they are responsible. The Council is responsible for proper provision for 16 – 18 year olds and reasonable provision for adults. Where provision is being withdrawn from a specific location or where provision of a particular type is being withdrawn from a provider's programme the delivery of this responsibility may be affected.

4.21 This form is designed to be used by all kinds of providers funded by the Council and some parts of it may not seem relevant to local authority provision. The guidance notes below are to help you in completing this form.

The form only asks for details where withdrawal of provision is substantial. If a provider is withdrawing from all provision in a specific community or all provision in a particular subject area then the form should be completed. It is not generally necessary to complete the form for the withdrawal of individual courses and you do not have to complete it if a similar range of courses is planned to replace the provision or if provision is being moved between premises in a specific locality.

Provider Name

4.23 See notes on learner number forms above.

Qualification aim code and Qualification level

4.24 You do not have to complete these boxes where provision does not lead to a qualification.

Type of Provision

4.25 You should fill in here the type of provision you are withdrawing. If for example you will no longer be providing any courses in fitness, or art, where these have been a feature of provision before you need to enter this. Where you are withdrawing provision entirely from an area you should enter "all provision" and the area from which you are withdrawing eg "all provision in Newtown". It would be useful if you are able to include the postcode/s of the area from which you are withdrawing.

Mode of Attendance

4.26 For the purposes of this form full time provision is provision where the learners are taught for more than 450 hours per year.

Collaborative/Franchise arrangements

4.27 You will need to complete this section if provision to be withdrawn is delivered by one of the organisations with which you sub contract.

Reason for Withdrawal

4.28 Enter the reason you are withdrawing from the location or subject/course area.

Nearest Provider Information

4.29 You will need to enter here the type of provider offering provision in the locality or subject area concerned and their name. You are asked to make an assessment of the distance learners will have to travel to the nearest provider.

4b Learner Numbers: Council-funded 16-18 2001/02 – 2003/04

Include numbers from your ACL budget only. Do not include learners funded from former External Institutions' budgets

Provider Name: _____

Areas of Learning		2000/01				2001/02				2002/03				2003/04			
		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
14 Foundation Programmes																	
13 English Languages and Communications																	
12 Humanities																	
11 Visual and Performing Arts and Media																	
10 Health, Social Care and Public Services																	
9 Hairdressing and Beauty Therapy																	
8 Hospitality, Sports Leisure and Travel																	
7 Retailing, customer service and transportation																	
6 ICT																	
5 Business Admin, Management and Professional																	
4 Engineering, technology and manufacturing																	
3 Construction																	
2 Land-based provision																	
1 Sciences and Mathematics																	
Entry Level		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Level Unspecified		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Learners LEVEL 1		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Learners LEVEL 2		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Learners LEVEL 3		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Learners LEVEL 4		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Learners LEVEL 5		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Total Learners*		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Basic Skills		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Collaborative Provision		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Franchised Provision		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04
Ufi		2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04	2000/01	2001/02	2002/03	2003/04

*Note: The figures for Basic Skills, Collaborative Provision, Franchise Provision, and Ufi form part of the total number of learners. They do not form the total.

4c Learner Numbers: Council-funded 19+ 2001/02 – 2003/04

Include numbers from your ACL budget only. Do not include learners funded from former External Institutions' budgets

Provider Name: _____

Areas of Learning					
Entry Level	14 Foundation Programmes	2000/01			
	13 English Languages and Communications	2001/02			
	12 Humanities	2002/03			
	11 Visual and Performing Arts and Media	2003/04			
Level Unspecified	10 Health, Social Care and Public Services	2000/01			
	9 Hairdressing and Beauty Therapy	2001/02			
	8 Hospitality, Sports Leisure and Travel	2002/03			
	7 Retailing, customer service and transportation	2003/04			
Learners LEVEL 1	6 ICT	2000/01			
	5 Business Admin, Management and Professional	2001/02			
	4 Engineering, technology and manufacturing	2002/03			
	3 Construction	2003/04			
Learners LEVEL 2	2 Land-based provision	2000/01			
	1 Sciences and Mathematics	2001/02			
		2002/03			
		2003/04			
Learners LEVEL 3		2000/01			
		2001/02			
		2002/03			
		2003/04			
Learners LEVEL 4		2000/01			
		2001/02			
		2002/03			
		2003/04			
Learners LEVEL 5		2000/01			
		2001/02			
		2002/03			
		2003/04			
Total Learners*					
Basic Skills		2000/01			
		2001/02			
Collaborative Provision		2000/01			
		2001/02			
Franchised Provision		2000/01			
		2001/02			
Ufi		2001/02			
		2002/03			

*Note: The figures for Basic Skills, Collaborative Provision, Franchise Provision, and Ufl form part of the total number of learners. They do not form the total.

4d Withdrawal of Provision

Provider Name: _____

Substantial areas of provision that are being replaced should not be recorded.

Qualification aim code - from version of the qualification database		N/A	
Type of Provision			
Qualification level	Last year provision		Number of learners (in last year)
N/A			
Mode of attendance	<input type="checkbox"/> Full-time	<input type="checkbox"/> Part-time	<input type="checkbox"/> Both
Is the withdrawn provision delivered through collaborative/franchise arrangements?			<input type="checkbox"/>
Reason for withdrawal		<input type="checkbox"/>	Decline in learner numbers
		<input type="checkbox"/>	Other
Nearest provider making equivalent provision		<input type="checkbox"/>	School
		<input type="checkbox"/>	College
		<input type="checkbox"/>	External Institution
		<input type="checkbox"/>	Higher Education institution
		<input type="checkbox"/>	Private provider
		<input type="checkbox"/>	Other
Name of provider			
Approximate travelling time from provider		<input type="checkbox"/>	Less than 30 minutes
		<input type="checkbox"/>	30 minutes to one hour
		<input type="checkbox"/>	more than one hour

5 Adult Learning Plan

5a Adult Learning Plan Contents

- 5.1 Organisational details
- 5.5 Mission statement
- 5.6 Needs analysis
- 5.10 Strategic objectives
- 5.13 Coherence with other provision
- 5.16 Basic skills
- 5.19 Widening participation and Learner Recruitment
- 5.20 Make up of Adult Population
- 5.21 Family Learning
- 5.23 Family Literacy and Numeracy
- 5.27 Adult Ethnic Minorities Achievement Grant
- 5.28 Working in partnership
- 5.30 Access to ICT for learners
- 5.32 Fees and fee policies
- 5.33 Learner support
- 5.38 Learning support
- 5.40 Risk analysis
- 5.41 Data Collection and MIS Infrastructure
- 5.44 Subcontracting
- 5.48 Accommodation strategy
- 5.51 Staffing
- 5.56 Accountability and Governance
- 5.58 Audit
- 5.63 Quality assurance
- 5.69 Quality awards
- 5.70 LSC Performance Review
- 5.74 Equality and Diversity
- 5.82 Disability statement
- 5.83 Health and safety

5b Adult Learning Plan: Guidance on Contents

Organisational Details

5.1 Please give the name of your local authority in full.

5.2 Include in this section details of the person who is to be the Authority's contact for matters relating to the Adult Learning Plan.

5.3 Also include here a short summary of how the authority secures adult learning opportunities eg through direct delivery, through sub-contracting with providers, through a network of community schools or supporting other organisations.

5.4 LEAs should consider whether adult learning, and in particular family learning opportunities could be offered on schools premises in line with the Government's wish to promote 'extended schools' (whereby schools act as focal points for a range of family and community services).

Mission Statement

5.5 This should reflect your authority's overall aim in securing adult learning opportunities. This may be your mission statement or a policy statement of the strategic aim of your authority in this area.

Needs Analysis

5.6 LEAs should include a needs analysis underpinning their plans for provision. This should include consideration of labour market information and demographic data. Authorities should ensure that their needs analysis covers all segments of the adult population addressed by their mission statement and are recommended to compare their learner recruitment, retention and achievement profiles with that of the community or communities they serve. Particular areas of focus might include age, sex and ethnicity. Particular attention should be given to the needs of under-represented groups including those with learning difficulties and disabilities.

5.7 Authorities should identify the main conclusions of their needs analysis which relate to future plans for provision.

5.8 Authorities should consult major bodies within their areas to gain a full appreciation of the local education and training market and to identify those they have consulted and the outcomes of such consultation. Learning Partnerships should form part of this consultation process.

5.9 Please indicate how you have consulted on your plan in its development and how you have liaised with your local Learning Partnership in the production of your Plan.

Strategic Objectives

5.10 Authorities are asked to provide a statement of their main strategic objectives for 2002/03. These should be linked to the mission and needs analysis and include expected timescales and the indicators that will be used to assess progress towards their achievement.

5.11 Strategies to improve retention should be indicated with the current baseline and the improvement expected.

5.12 Plans to withdraw or develop significant new areas of provision should be included with a rationale for such plans.

Coherence with other provision

5.13 This section should indicate how the work described in this plan fits with other work funded by the Council eg provision made as a former External Institution.

5.14 The relationship between the work described in this plan and other work in lifelong learning carried out by the local authority, from funding sources outside the Council or in other local authority departments should be discussed.

5.15 Interaction with other providers in the local LSC's area should be described, and in particular how you will work to avoid overlap and duplication of provision.

Basic Skills

5.16 Increasing participation in basic skills programmes is a government priority and you are asked in your learner numbers form to identify the numbers of basic skills learners funded through this part of your local authority budget. It is recognised that the majority of basic skills provision made by LEAs has been carried out in their role as former FEFC External Institutions but in some instances LEAs have funded work in this area from the budget covered by this plan under their power to make provision in this area.

5.17 Any intentions to use the funding provided on the basis of this Plan to support the government's priority in the area of basic skills should be described. Where applicable, the way that general provision supports basic skills or includes an element of basic skills should also be detailed. Please indicate any

arrangements you have or plan to introduce to support learners with basic skills needs attending provision made as part of this Plan.

5.18 Note that learners on basic skills programmes should not be charged a fee for their programme.

Widening Participation

5.19 The tables below should be completed to show how particular groups of learners are represented in your provision as against the profile of your population.

Learner Recruitment

Learners	Expected 2001/2	Planned 2002/3
Total number of Learners (ACL Provision only)		
% Males		
% With learning difficulties and/or disabilities		
% From minority ethnic groups		
% Aged 60 +		

Make up of Adult Population

Total Adult Population	% with learning difficulties and/or disabilities	% from minority ethnic groups	% 60 +

5.20 Any specific activities you will be undertaking in year 2002/03 to widen participation in adult learning should be described including the relevant target learner numbers you plan to recruit. Where activities are to improve retention or achievement please indicate the target you plan to achieve as a result of your proposals. Please indicate how such activities build on work begun under the Standards Fund grant you have received over the past three years.

Family Learning

5.21 The government has made funds available for family learning in 2002/3. This funding is not available for family literacy and numeracy programmes for which separate funding will be available. Please indicate how you will build on and expand family learning programmes and in particular the following:

- How your plans will help tackle social disadvantage
- How your planned provision will be aimed at the family in the broadest sense ie at children at all ages, at male and female family members and at the extended family

- How you will work with local partners

The range of activities you will choose will be influenced by local needs and circumstances but you might select activities from among the following

- Supporting the costs of a wide range of provision which is free to participants
- Creating and sustaining a family learning co-ordinator post in the LEA
- Staff training and development
- Purchase of materials and equipment or refurbishing a venue or space for family learning
- Research and evaluation

In order to access this money you will be required to provide specific and separate information for your family learning programme on the following performance indicators:

- Number of participating adults
- Number of participating children (under 18 years)

- % of adults and children with disabilities/learning difficulties
- % male adults
- % of adults and children from minority ethnic groups
- % adults 60+
- % primary school children
- % secondary school children.

Family Literacy and/or Numeracy

5.23 These activities involve parents and their children learning literacy and/or numeracy skills together or separately, often in intensive courses on school premises.

5.24 Funding will be merged with the ACL budget from the schools standards fund to support family literacy and/or numeracy from 2002. Activities may include grandparents and siblings as well as the immediate parents or legal guardians of children who act in a parental capacity. The Adult Basic Skills Strategy Unit and the Basic Skills Agency are working together to develop new models of family literacy and numeracy learning. In its Plan, the LEA should outline its current activity in delivering and planning family literacy and numeracy and the ways in which its plan fits within the Skills for Life national adult basic skills strategy. Reference should be made to the Local Authority's existing work and plans associated with family literacy and/or numeracy, for example, neighbourhood nurseries.

5.25 A clear outline of the LEA's provision should be included in the Plan, showing how many families benefit, why these families are targeted, how the activities are integrated within broader strategy for family centred learning and the delivery methods and assessment strategies to be used. Capital equipment may not be purchased, for example, laptop computers.

5.26 Note that ACL funding is for post 16 learners and that only funding granted under 'family learning' or family literacy and/or numeracy may be used for younger family members. It is for this reason that we ask for specific monitoring information.

Adult Ethnic Minorities Achievement Grant

5.27 The Adult Ethnic Minorities Achievement Grant funding received by 36 local authorities is being transferred to the Council with effect from April 2002. Institutions will be contacted in due course about the arrangements that will be put in place for the continuance of this funding stream in 2002/03.

Working in Partnership

5.28 Please indicate the organisations that you plan to work with in 2002/03 with an indication of the work you will be

carrying out in such partnerships and/or the benefits to learners from such partnership working.

5.29 Do not include organisations with which you are sub-contracting to deliver provision as these should be considered in the section on Sub-contracting.

Access to IT for Learners

5.30 Local LSCs have indicated a strong interest in developing information on the availability of fit for purpose ICT equipment in their areas with a view to making decisions about appropriate investment in the near future.

5.31 Please can you include in your plan a short statement of the facilities you have available locations, hardware, internet access, types and numbers of pcs/laptops available to learners.

Fees and Fee Policies

5.32 Authorities are asked to include in their plan a brief statement of their policies in relation to learner fees. If substantial changes to learner fees or fee policies are proposed during 2002/03 please outline these and the rationale for the changes proposed.

Learner Support

5.33 Under the *Learning and Skills Act 2000* which governs provision through the Council, the requirement, derived from Schedule 2 to the *Further and Higher Education Act 1992* that restricted fees and student support to vocational and academic courses no longer applies. In appropriate cases, learners who are on non-vocational courses should have access to discretionary support eg for travel, childcare and miscellaneous course related costs where institutions are satisfied that support is likely to facilitate their learning and progression. Funds should only be used for those learners on courses that are expected to enhance their skills, competence or personal development so as to contribute to their future training, education employability or self-employment. In exercising discretion, institutions must consider the impact of reducing the funding available to learners undertaking vocational and academic courses. Please see Annex B reference to learner support funding circulars.

5.34 Please indicate in your plan the arrangements (if any) you have in place for supporting learners on ACL provision and improvements you plan for 2002/03.

5.35 Support for learners includes items such as childcare provision and transport. It does not include fee concessions or learning support which is dealt with separately below.

5.36 Information, advice and guidance (IAG) form an important part of learner support. Please detail the arrangements you have for this aspect of learner support within the provision you secure and also links you have with IAG partnerships.

5.37 Your Plan should include reference to any general adult guidance services or specific guidance activity you run in addition to their funding from the IAG partnerships indicate any planned improvements or changes you will be making to this aspect of your work.

Learning Support

5.38 Please indicate in your plan the arrangements (if any) you have for learning support for learners on ACL provision and improvements you plan for 2002/03.

5.39 Learning support refers to arrangements which help individual learners with additional learning needs to gain most from their learning such as help with basic or study skills aids for learners with disabilities.

Risk Analysis

5.40 Authorities are asked to make an assessment of the impact on their plans of variations of external factors and combinations of factors. You should set out the main factors that may prevent your authority from achieving your main objectives and the potential consequences to learner numbers. You should also indicate contingency plans to be employed should these risk factors occur.

Data collection and MIS infrastructure

5.41 The funding system of the Council will require the development of the Individual Learner Record (ILR) which records details of each individual learner and their learning programme and support.

5.42 It is accepted that many local authorities will need to develop and improve their MIS systems in order to be able to comply with the requirement to record students in this way. Funding will be made available to help authorities needing to improve or further improve their IT infrastructure to meet this requirement. As work in this area is new to the Council, it is expected that a task group will be established to develop criteria for the use and allocation of funds. This group will meet during the course of the academic year 2001/02 and the outcomes of its work will be made known to you through your local LSC. The group may wish to commission further work from volunteer LEAs. It would be very helpful if you would indicate your willingness to take part in such work to your local LSC.

5.43 Please include in your plan your current proposals for such improvements and the extent of your capacity to undertake any of this work within existing budgets, and what would be additional to this.

Sub-Contracting

5.44 Please list the organisations you intend to subcontract with for the delivery of provision during 2002/03 indicating the category of provider eg FE College, voluntary organisation,

the approximate value of the contract and the numbers of learners engaged through the contract.

5.45 It would be helpful if you could indicate in your plan whether your collaborative partners/sub-contractors also receive Council funding separately from their arrangements with you.

5.46 If you are making significant changes from the pattern of contracting you have had in 2001/02 please indicate this and the reasons for the change.

5.47 The management of contracts and monitoring arrangements for sub-contractor's delivery relative to target should be described and the value added by your organisation in the management of such contracts specified.

Accommodation Strategy

5.48 Please include in your Plan a map of all the locations where you intend to deliver adult learning activities. You are asked on the "withdrawal of locations" form to give details of where you are withdrawing from provision in any specific community.

5.49 You are asked to submit as part of your Plan a short accommodation strategy. This should indicate the rationale for using the premises you currently utilise for the delivery of adult learning and issues that may arise in 2002/03 in relation to the accommodation you occupy.

5.50 There is a separate section in this booklet on capital funding and the Council will be sending a letter to LEAs on this issue setting out detailed guidelines on applying for capital funding. Your accommodation strategy will need to accompany any bids for capital funding including applications for capital funding for minor works.

Staffing

5.51 Please attach to your plan information about staff that you directly employ to deliver and/or support adult learning. You are not required to fill in this information for the staff of your sub-contractors.

5.52 The Council has not hitherto collected information on staffing in former External Institutions and authorities have advised the Council that it is difficult to split staff numbers between the two funding streams particularly in the case of full time staff.

For this section of the plan please include details of all the staff you employ whether for Adult and Community Learning or for work as a Former External Institution or for work as a work based training provider.

5.53 In dealing with part time staff express your staff numbers in full time equivalents.

The following guidance notes may help you in defining full time equivalence:

the proportion of full-time hours that the member of staff is contracted to work over the year, expressed as a percentage of the standard full-time hours over a year for the particular type of employment as defined by the institution

full-time staff should be recorded as 1 FTE. Full-time staff with an additional contract may be shown as greater than 1.

5.54 Whereas it is possible that FTE will be greater than staff numbers it is likely that the FTE figure will be considerably less than the total staff figures.

5.55 Use the Categories of Work Codes at Annex B to classify the staff you employ.

Accountability and Governance

5.56 You are asked to outline the structures by which the authority demonstrates accountability for the adult and community learning it secures. This may include use of governing bodies or reports to Committees of the authority.

5.57 If you are planning changes to these arrangements please include them in your plan.

Audit

5.58 The Council's 2001-02 funding of adult learning plans is through grants made under funding agreements with local education authorities. These grants are paid on profile for the sums set out in the funding agreement. As for all Council funding of its providers, the Council's chief executive must ensure that local education authorities in receipt of grant have appropriate arrangements for financial management and accounting and that the uses to which the Council's payments are put are consistent with the purposes for which they have been given and comply with the conditions attached to them.

5.59 During the transitional period, the Council will be:

- Seeking to make as much use as possible of local education authorities' existing arrangements for audit and accountability. The Council is exploring how it may obtain the necessary assurance on the use of LSC payments from the Audit Commission
- Reviewing the potential for obtaining assurance on internal control through reliance on the work of local education authorities' internal auditors. The Council may however wish to conduct high-level examinations of providers' financial management and accounting arrangements in conjunction with the Adult Learning Inspectorate, under the Council's concordat with the Inspectorate
- Constrained in its audit of data on learners by the current absence of such data available from local education authorities.

5.60 Having considered the information that is available, under its funding agreement the Council may recover from local education authorities any sums due in respect of a failure to deliver satisfactorily against the agreed adult learning plan.

5.61 By the end of the transitional period, the Council will seek to have in place accountability and audit arrangements for adult learning providers that are compatible with all the providers it funds. These arrangements will be taken forward as part of the Council's development of an audit code of practice for the whole sector the Council funds.

5.62 Authorities should assure themselves that they have a clear audit trail for the expenditure of LSC funds evidencing expenditure has been made in securing provision for learners. Further guidance on audit will be provided by the Council in due course.

Quality Assurance

5.63 Quality impacts on all aspects of planning and is not a separate issue. We want each authority in their Plan for 2002/03 to outline the baseline position in terms of quality for the range of its adult and community learning provision and to show how it manages and assures the quality of the education it secures for adults. Authorities will also need to indicate in their plan how they will move from their baseline to improve quality and performance or to sustain excellence.

5.64 The arrangements you have for maintaining, improving and reviewing the quality of provision you secure should be described briefly. The place of self-assessment and development planning in your approach should be described including the length of time these have been used. Outline any future plans you have to improve this process. Please note that as an ACL provider you should return a separate self-assessment report (SAR) to the local LSC in March 2002. Separate guidance on this is provided in *Continuous Improvement in the Quality of Provision and Learners Performance Post-16*. See Annex C for details of this publication.

5.65 Provide a brief summary of the main aspects of your current development plan for improving your provision. You need only indicate the main areas of quality improvement. State the means you will use to monitor progress.

5.66 Please supply details of the sources you use to measure learner satisfaction. Indicate any development work you or your providers are carrying out to measure the performance of learners or the effectiveness of provision.

5.67 If you have any performance indicators for quality please state what they are and what they show, including an analysis of trends over time where possible.

5.68 Include in your response any aspects of good practice in your provision that you wish to highlight.

Quality Awards

5.69 Please list any quality awards that you hold that relate to the LEAs delivery of adult learning eg Basic Skills Q Mark, Investors in People, Charter Mark.

LSC Performance Review

5.70 During the current year (2001/02) local authorities will want to prepare for the local LSC's performance review of their provision. They will want to find out about the local LSCs pilot performance reviews of LEA adult and community learning providers taking place in six local LSCs in October/November 2001 and the extended pilot to be conducted in more local LSCs in February 2002. Authorities will want to draw on the experience of pilots to inform their plans for working with their local LSC to sustain high quality and improve their performance across each of the key areas that are assessed.

The ten areas are:

- quality of education and training and standards achieved by learners
- continuous improvement
- other aspects of leadership and management
- quality of planning (strategic/business)
- data management
- financial viability and assurance
- delivery of agreed volume of education, training provision
- health and safety
- equality and diversity
- other national/local priorities (not set at this stage)

5.71 Authorities will want to consult *The Council's National Framework for Reviewing the Performance of Providers* which is available on the Council's website. Details of this and other useful documents are provided in Annex C.

5.72 In your Adult Learning Plan please outline the kinds of evidence that will be useful to indicate your performance levels in each of the key areas and include your plans for improving performance across these key areas.

5.73 Plans for key areas that feature in other sections of the plan can be cross-referenced rather than be repeated in this section.

Equality and Diversity

5.74 The Council's vision is to create a learning society which is free from discrimination and prejudice and which encourages and helps all learners reach their full potential.

5.75 The Council has a statutory obligation to have due regard to the need to promote equality of opportunity between:

- People from different racial groups
- Men and women

- People with or without a disability

5.78 The Council must report annually to the Secretary of State on the equality arrangements made during the preceding year, how effective these were and equality plans for the following year.

5.79 Providers are central to the process of mainstreaming equality of opportunity which is defined as "building equality openly and actively into policy making processes at all levels and at all stages. It ensures that policies, programmes and actions specifically seek to achieve equality and do not put any group of people at a disadvantage. In cases where some groups are already at a disadvantage, mainstreaming identifies where special measures are needed".

5.80 Work to promote equality and diversity should be integral to all operations and you will want to cross reference activities described elsewhere in your Plan that contribute towards this goal.

5.81 In this section of your Plan you should detail or cross-reference to positive action you are taking to widen participation among under represented groups. You should also show how you are going to monitor and evaluate your equal opportunities performance including progress against agreed action plans to close equality gaps and widen participation.

Disability Statement

5.82 Authorities are requested to send a copy of their Disability Statement to the Local LSC with their Adult Learning Plan.

Health and Safety

5.83 The Council aims to ensure that learners have access to a safe, healthy and supportive learning environment.

The key areas that LEAs need to include in their Plan are:

- **The local authority's health and safety arrangements for adult and community learners**

5.84 This should include evidence of your commitment to health and safety including a copy of your health and safety statement and a description of the arrangements in place for health and safety management. It will also cover the system for accident and incident reporting. If the local authority contracts out provision evidence will be needed of how the health and safety of learners is assured. The Plan needs to include how the authority intends to develop and improve its health and safety arrangements.

- **How a safe and supportive learning environment is assured for learners**

5.85 This should include a description of the system for ensuring adequate supervision of learners and safe systems of learning/working. Where relevant it needs to include identifying appropriate placements and arrangements for ensuring adequate supervision of learners and safe systems of

work. It will also cover arrangements for assuring learners' safety on excursions or visits.

5.86 Accurate risk assessments are the key to identifying any extra measures that may be necessary to ensure the safety of learners. They should take into account individual capabilities including gender, age and learning difficulties and/or disabilities. The Plan should indicate where improvements will be made to existing arrangements.

- **Communication on health and safety issues with learners**

5.87 This will include a description of how learners are informed of health and safety arrangements and their own responsibility under these arrangements. It should refer to planned improvements.

5.88 Local authorities will already have arrangements in place for assuring the safety of their own staff and will be seeking to build on their good practice. This aspect does not form part of the Plan.

6 Capital

Introduction

6.1 From April 2002, capital funds will be made available for adult and community learning providers. These will be allocated by the Council to those LEAs securing ACL provision. The purpose of this section is to outline the level of funds available and the arrangements for allocating them during 2002-03.

ACL Capital Budget 2002-03

6.2 From April 2002 the Council has been granted a modest discretionary capital budget to support the ongoing capital expenditure commitment from LEAs. For 2002-03 that budget is £16 million. Similar allocations are expected in subsequent years.

6.3 In addition, a further capital allocation of £8.3 million has been made available to the Council for 2002-03 to help support LEAs make their ACL services compliant with the new *Special Educational Needs and Disability (SEND) Act 2001*. This Act amends the earlier *Disability Discrimination (DDA) Act 1995* to remove the exemption of education from its provisions. Arrangements for the allocation of capital funds to address special needs and access facilities for students with learning difficulties and disabilities will be finalised following further consultation.

6.4 As the DfES lacks any central records that might indicate the properties occupied and used by individual LEAs for ACL purposes, one aim of the first year's programme is to build up a picture of general building ownership, usage and condition to inform future policy development. It has therefore been decided, at least for the first year of operation, to allocate the £16 million of general capital funds partly according to student throughput and partly on a challenge fund basis, as follows:

- a. £6 million will be allocated on a formula basis for minor works and equipment purchases, subject to the submission of a short statement summarising the authority's ACL accommodation strategy and the intended use of funds; and
- b. the remaining £10 million will be allocated through a bidding process for large scale capital improvement schemes only where funding of between £500,000 - £1,000,000 will be made available to individual LEAs towards the costs of major capital projects.

Both of these elements are described in more detail below.

Minor Works and Equipment

6.5 The £6 million for minor works and equipment will be allocated to each authority on the basis of learner numbers as indicated on the DfES's AE1/AE2 returns. In support of the allocation, each LEA should provide:

- a statement setting out the planned use of funds and the programme for expenditure; and
- a short statement describing the authority's accommodation strategy for adult education activities, including estimates of expenditure necessary to meet the requirements of the SEND Act and the DDA.

6.6 Premises and activities upon which such expenditure could be incurred include:

- property owned by the LEA (including school premises) and accommodation that can be shown to be exclusively or mainly dedicated to the provision of adult learning for a substantial period; or
- where there is a demonstrable long-term commitment to the use of a property for adult learning purposes.

6.7 Expenditure on premises owned by FE colleges contracted to provide work previously described as non-schedule 2 could also be eligible, provided such premises are and will be solely or mainly used for such work; the proposals are jointly supported by the college and its local authority sponsor; and the premises have not been the subject of previous capital applications to the Council.

Headings against which expenditure will be permitted include:

- Urgent health and safety related building repairs;
- Furniture and Equipment (including infrastructure work for the provision of IT - e.g. cabling – but excluding PCs and other ICT hardware);
- Decoration and refurbishment;
- Modifications to improve access.

6.8 On receipt of and endorsement of the supportive statement setting out the planned use of funds and programme for expenditure as indicated above, 50% of the proposed funding would be paid to eligible LEAs. The balance will only be paid following evidence that the expenditure had been properly incurred. Provision will therefore be made for the Council to claw back funds if there is evidence that such expenditure has not been properly incurred against the agreed schedule of expenditure.

Major Capital Improvement Schemes

6.9 The £10 million budget for major capital improvement schemes will be distributed through a challenge fund called the "Adult and Community Learning Capital Fund". LEAs will be invited to bid for funding of between £500,000 and £1 million towards the cost of major capital projects for ACL.

The main characteristics of the fund are:

- Individual LEAs will be invited to submit no more than one application in the first round
- All applications must be endorsed by the appropriate local LSC before consideration at national level by the Capital Committee
- It is anticipated that most schemes will involve some matched funding. A minimum level of 20% LEA contribution to be matched by an 80% Council contribution would normally be expected. However, we are looking to achieve a greater percentage contribution from the LEA (to be reflected by a lower Council contribution) in many cases. In exceptional cases, a 100% contribution from the Council may be considered
- The same conditions about ownership and use of buildings will apply as those for minor works (see above). The provision or purchase of large numbers of PCs will not be eligible for funding. However, where IT suites are part of a large scale improvement of the infrastructure we are prepared to consider funding the associated cabling costs
- Applications will be assessed against capital projects criteria broadly similar to those used by the Council for assessing capital applications from FE colleges, but adjusted to reflect the characteristics of the adult and community learning sector
- There will be a two-stage application process:
Stage 1 - LEAs will be invited to submit short proposals to local LSCs for major capital works.
Stage 2 - From these a number will be agreed, by the local LSC, for further development and those LEAs will be asked to provide detailed proposals. These will be considered initially by the local LSC and, if endorsed by the local LSC, will be passed to the Capital Committee for final consideration
- LEAs will need to indicate how the proposals fit into their accommodation strategy for adult and community learning
- The first round will be used as a pilot and LEAs will be consulted on the effectiveness of the arrangements. Evaluation procedures will be put in place
- Premises must be used primarily for ACL purposes (average minimum 90% usage) to receive full funding.

However, the Council's funds may be reduced pro-rata for alternative use of the premises. Premises used for less than 50% for ACL purposes would not be eligible for Council support.

6.10 Projects eligible for funding include proposals that would address:

- Health and safety related building repairs
- Innovation/re-modelling of the curriculum
- Growth - to enable the provision of increased learner places
- Widening participation
- Improved facilities for learner support
- Work undertaken to reduce the running costs of and increase the effective use of buildings
- Schemes that develop effective and efficient dual use.

Projects Criteria

6.11 As stated earlier, guidance on how to apply for funds will be issued in the near future. This will include the criteria against which project proposals will be assessed, and will be similar to those used for assessing FE capital projects. Due to the lack of detailed information on current LEA practices and accommodation strategies, in particular premises utilisation, detailed sector-wide standards cannot be established as yet. For the first round, therefore, applications will need to be determined in comparison with each other and on their own merits.

7 Preparation for Future Funding Arrangements

Introduction

7.1 The Council intends that the four learning sectors, Work Based Learning, Further Education, School Sixth Forms and Adult and Community Learning should move to a common funding approach from 2003/04. This means that each learning sector will be funded by the Council through systems which follow the same principles but may vary to reflect specific characteristics. The Council plans to move to an integrated funding approach by 2004/05 with greater consistency developing across the four learning sectors.

7.2 The key principle behind the funding arrangements to be implemented by the Council is that money should follow the learner and at the centre of the new funding arrangements for 2002/03 is a funding formula which uses national rates of funding, or prices, for the provision made. This formula has already been applied to work based learning and is to be applied to school sixth forms during 2002/03. This approach will also replace the FEFC methodology for FE providers in 2002/03.

7.3 The current operation of the new formula across the learning sectors is described in Circular 01/13 *Post 16 Funding Arrangements for 2002/03* which is available from the Council's website www.lsc.gov.uk/documents/circulars.

7.4 Adult and Community Learning will be covered by the common approach to funding from 2003/04.

The New Formula

7.5 The new formula is a very different means of funding from the arrangements that have been in operation for ACL. However, many ACL providers will be familiar with the FEFC's formula because of their involvement with this as external institutions. These providers will recognise familiar elements in the new arrangements and this part of their provision will fall within the Further Education funding arrangements for 2002/03.

Preparation for Transition to a Common Funding Approach

7.6 It is intended that the Council's new funding arrangements for ACL funded by LEAs will be introduced from 2003/04. Until August 2003, as indicated in this document, LEAs will be funded by the Council to carry out activities described in their agreed adult learning plans. Preparation for

ACL to transfer to the new funding arrangements from 2003/04 will be undertaken during 2002.

7.7 The Council wishes to explore ways of supporting ACL providers and other providers of adult learning through the particular challenges of the transition to a common funding approach. For example, the Council intends to take an approach to the funding of provision in former FE external institutions which recognises the specific nature of the provision made and builds on the links between FE and ACL provision made by these institutions. This approach will be developed in consultation with the relevant providers.

7.8 Any ACL provider, whether an FE external institution or not, is invited to indicate its willingness to assist in the development of this approach. For example, this might include using modelling software, joining a consultative forum or sharing data on adult learning. You should indicate your interest in contributing through discussion with your local LSC.

7.9 A number of issues will need to be addressed during the preparation for transition to a common funding approach for ACL, including the areas discussed below.

Learner Contributions

7.10 Ministers have asked the Council to consider, in relation to 2003/04, whether an assumed fee income of 25% (the standard assumption in FE) can be applied to all ACL provision. Currently, there are wide variations between individual LEAs' fees policies. Some providers charge fees higher than 25% whereas in other circumstances, such as for provision for disadvantaged learners, no fees are charged. As part of a common funding approach, it is envisaged that:

- adult learners will continue to make a substantial contribution to the costs of their learning where they are able to do so
- sufficient public funding is available to encourage providers to offer and increase first rung learning opportunities to disadvantaged learners at no cost or low cost.

Outreach and Development Work

7.11 In looking to a common funding approach, the Council will wish to consider how it might support development work such as outreach and innovative community-based provision delivered by ACL providers, including the voluntary and community sector.

Costs of Provision

7.12 There is little data available to the Council from past recording systems to enable a clear view to be taken about the costs or volumes of ACL provision. Very little data was collected nationally and the information available is incomplete. During 2002/03 all authorities will be involved in a data collection exercise to inform the move to a common funding approach. This exercise will examine the costs of provision, the volume and curriculum balance of opportunities being offered by the sector, fee income and provision likely to attract the disadvantage uplift.

Learner and Learning Support

7.13 Very little information is available about the current arrangements for learning support or learner support in ACL. Data will be collected on such arrangements to enable support systems to be integrated into the Council's mainstream systems over time.

Achievement

7.14 The issue of learner achievement in non-accredited learning is shared with other sectors. However, because a high proportion of ACL is non-accredited there will be particular interest in work with ACL providers and others to develop a common approach to achievement and the achievement element of formula funding in non-accredited work. The Learning and Skills Development Agency (LSDA) and NIACE are undertaking further work on recognising and validating the outcomes of non-accredited learning which will be relevant to the issue of achievement in the ACL context.

Annex A: The Legal Framework

Learning And Skills Act 2000: The Law

The Learning and Skills Council

The Learning and Skills Act is now in force. It includes some important new duties for the Learning and Skills Council which will inevitably impact on the work of all providers. They include for example duties to:

- encourage individuals to learn and employers to participate and contribute towards the cost of learning
- have due regard to the need to promote equality of opportunity in the areas of race, gender and disability
- set up national and local committees which make good use of the work of the Learning and Skills Council and its local councils.

The Learning and Skills Council has the primary responsibility for all adult and youth learning. For adults this includes a duty to secure the provision of 'reasonable' facilities for education and training and organised leisure time occupation connected with this education and training. The education and training provisions include (either explicitly or implicitly) vocational, social, physical and recreational training.

In considering what programmes to run the Council is responsible for weighing up a number of legal responsibilities which include the need to take account of the different abilities and aptitudes of different people and make the best use of the Council's resources – though more expensive provision is not necessarily seen as disproportionate expenditure if it can be justified.

LEAs and local authorities: duties in relation to the Council

For LEAs there are some important legal changes brought about by the Act. The LEAs' duties in the field of adult education are amended in the Act. These amendments came into force on 1 April 2001.

In preparing its plans, the Learning and Skills Council must consult every LEA as well as every Regional Development Agency and alter it in response where appropriate.

The legal duties upon the local Learning and Skills Council include a requirement to consult 'any relevant local authority' (clause 22 (5) b) and to include in its plan a statement about what education and training it would like the LEA to run.

The key clause for LEAs is clause 22 (3) which says that in preparing its plan for each financial year, the local LSC plan must include:

'a statement of the education and training (and connected leisure time occupation) whose provision the local council would like a relevant local education authority to secure in the local council's area for persons who have attained the age of 19'

and 'proposals as to the financial resources with which the authority will be provided by the Council to enable the authority to secure provision of such education and training (and connected leisure time occupation).'

It also says in clause 22 (4) that in preparing its plan a local council must have regard to 'any strategy prepared by any relevant local authority under section 4 of the *local Government Act 2000* (strategies for promoting well being).' Local authorities/LEAs clearly have an important role to play in supporting coherence between their work for the Council, any other adult education and training they may organise and their duty under the Local Government Act.

The new duty upon LEAs is set out in clause 23.

'If a local education authority does not secure the provision of education and training (and connected leisure time occupation) in accordance with the provision included in a plan under clause 22 (3) the Secretary of State may direct the authority to do so.'

'The authority must act in accordance with the direction, but only if the Council provides it with any financial resources which the authority reasonably requires it to do so.'

LEAs: powers to run adult education and training

Section 15 of the *Education Act 1996* gave LEAs various powers and duties in the field of further education including adult education. Section 15 of the 1996 Act was repealed by the 2000 Act and as far as adult education is concerned, powers are given to LEAs by a new section 15B of the 1996 Act inserted in Schedule 9 of the *Learning and Skills Act*. The new section 15B will give LEAs the power to secure full and part-time education suitable to the requirements of persons who have reached the age of 19. When exercising this power LEAs will be required to have regard to the needs of persons with learning difficulties.

LEA education and training: quality provisions

Some important provisions to help LEAs secure quality provision and cause local inspections to be made – whether or not it is contracted to the Council have been retained within the amended *Further and Higher Education Act 1992*. These are clauses 55 (4) and (5):

'4) In relation to any local education authority institution maintained or assisted by –

shall keep under review the quality of education provided, the educational standards achieved and whether the financial resources made available are managed efficiently

may cause an inspection to be made by persons authorised by them.

5) a local education authority shall not authorise any person to inspect any institution under this section unless they are satisfied that he is suitably qualified to do so.'

Annex B: Category of Work

Managers

- 01 college administrator/manager
- 02 centre (sub-college) administrator
- 03 finance administrator/manager (bursar)
- 04 librarian
- 05 marketing administrator/manager
- 06 computer/database manager
- 07 estate/site manager
- 08 other administrator/manager

Administrative and professional staff

- 21 careers officer
- 22 student co-ordinator
- 23 admissions co-ordinator
- 24 examinations co-ordinator
- 25 sports centre manager
- 26 finance officer
- 27 personnel officer
- 28 adult education administrator
- 29 assistant librarian
- 30 office manager
- 31 principal's secretary/personnel assistant
- 32 other administrative/professional staff

Technical staff

- 41 computer/database officer
- 42 computer technician
- 43 reprographics manager
- 44 senior laboratory/workshop technician
- 45 laboratory/workshop technician
- 46 arts technician
- 47 audio/video technician
- 48 other technical staff
- 49 learning support technician

Word processing, clerical and secretarial staff

- 61 word processor operator/clerical assistant
- 62 administrative assistant
- 63 secretary
- 64 receptionist/telephonist
- 65 finance assistant
- 66 personnel assistant
- 67 library assistant
- 68 exams assistant
- 69 admissions assistant
- 70 reprographics assistant
- 71 other clerical/secretarial staff

Service staff

- 81 caretaker
- 82 site assistant
- 83 security officer
- 84 maintenance staff e.g. electrician, plumber
- 85 learning support assistant
- 86 nurse (including nursery nurse)
- 87 nursery/crèche assistant
- 88 catering manager
- 89 catering assistant
- 90 gardener/groundsperson
- 91 cleaner
- 92 other service staff

Teaching Staff

- 99 member of teaching staff (no categorisation)

Notes The list of codes is based on the categories used by the Sixth Form Colleges' Employers' Forum Limited (SFCEF) in their annual survey of staff.

Annex C: Post 16 Publications and Consultation Documents

The White Paper – Learning to Succeed (June 1999)
www.dfes.gov.uk

Post 16 Funding and Allocations: First Technical Consultation Paper
(January 2000)
www.dfes.gov.uk

Inspecting Post 16 Education and Training – an informal consultation on the Common Inspection Framework (May 2000)
www.dfes.gov.uk

Post 16 Funding: Second Technical Consultation Paper (May 2000)
www.dfes.gov.uk

Post 16 Funding System: Consultation and Progress Report
(letter from John Harwood and Nick Stuart, 30 November 2000)
www.dfes.gov.uk

Funding Flows and Business Processes (May 2000)
www.dfes.gov.uk

Circular 01/08 FE Learner Support Funds 2001/02
(September 2001)
www.lsc.gov.uk

Circular 01/13 Funding: Post-16 Funding Arrangements for 2002/03
(October 2001)
www.lsc.gov.uk

The following may also be helpful

Skills for Neighbourhood Renewal: Local Solutions – final report of the Policy Action Team on Skills (December 1999)
www.lifelonglearning.co.uk

National Strategy for Neighbourhood Renewal: a framework for consultation
(June 2000)
www.cabinet-office.gov.uk

Thematic Review of Local Education Authority Adult Learning Plans
(May 2001)
www.niace.org.uk

NIACE Fees Survey 2000-01- indicators of fee levels charged to part-time adult students by Local Education Authorities and Colleges (Autumn 2001)
www.niace.org.uk

The Learning and Skills Council: Strategic Priorities
(letter from David Blunkett to Bryan Sanderson, 9 November 2000)
www.lsc.gov.uk

LSC Strategic Framework to 2004 Corporate Plan (July 2001)
www.lsc.gov.uk

Common Inspection Framework – for Inspecting Post-16 Education and Training (February 2001)
www.ali.gov.uk

The Council's National Framework for Reviewing the Performance of Providers – A briefing document (September 2001)
www.lsc.gov.uk

Continuous Improvement in the Quality of Provision and Learners Performance Post-16 – Guide for Providers on Self-Assessment and Development Planning
(October 2001)

Quality Support Programme (from September 2001)
www.qualityACL.org.uk

Skills for Life: Adult Basic Skills Strategy
www.dfes.gov.uk

Secretary of State's Guarantee Letter (December 1999)
www.lsc.gov.uk

